

## SECURITIES INFORMATION

In order to maintain a securities registration in Minnesota, the following items need to be submitted within 120 days from the issuer's fiscal year end:

1. **Annual Report** (Form 10-K **OR** annual report submitted to shareholders **OR** Form 102A, as contained in Minn. Rules, part 2875.9930);
2. **Audited Financial Statements** as of the issuer's fiscal year end (if audited financial statements not reasonably available at this time, such statements may be filed within 150 days of the issuer's fiscal year end upon written notification to this office); and
3. **Fee of \$100.00** made payable to Minnesota Department of Commerce.

Upon receipt of the above-referenced items, the application will be reviewed to determine if it complies with the laws and rules generally applicable to securities registration. If the application is found to be in compliance, the securities registration will be renewed. If deficiencies exist in the renewal materials, a deficiency letter will be sent.

If the issuer's name has been changed, also submit an amended Form U-1, Form U-2 if not domiciled in Minnesota, a cover letter specifically requesting the name change and a \$25.00 amendment fee. If the issuer's fiscal year end has changed, you need to notify this office of that change in writing.

If you do not want the securities registration renewed, simply do nothing. The securities registration will be automatically withdrawn 120 days from the issuer's fiscal year end and a withdrawal order will be sent to the issuer.

If you have securities renewal questions, please call (651) 296-4973.